

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Denise Faustman
Serial No.: (not yet assigned)
Filed: (concurrently herewith)
Entitled: Transporter Protein Splice Variants and
Model for Immune Diversity

ART UNIT:

EXAMINER: (to be assigned)

Atty. Docket No.: MGH-002.1P US

Assistant Commissioner for Patents
Box Patent Application
Washington, D.C. 20231

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 C.F.R. §§1.9(f) AND 1.27(b)) - NONPROFIT ORGANIZATION

Sir:

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION:
ADDRESS OF ORGANIZATION:

The General Hospital Corporation
55 Fruit Street
Boston, MA 02114

TYPE OF ORGANIZATION:

- ☐ University or other institution of higher education
☒ Tax Exempt Organization under Internal Revenue Service Code (26 U.S.C. §§501(a) and 501(c)(3))
☐ Nonprofit Scientific or Educational Institution under laws of a State of the United States
NAME OF STATE:
CITATION OF STATE LAW:
☐ Organization that would qualify as a Tax Exempt Organization under Internal Revenue Service Code (26 U.S.C. §§501(a) and 501(c)(3)), if located in the United States
☐ Organization that would qualify as a Nonprofit Scientific or Educational Institution under the laws of a State of the United States, if located in the United States
NAME OF STATE:
CITATION OF STATE LAW:

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. §1.9(e) for purposes of paying reduced fees under Sections 41(a) and (b) of Title 35, United States Code, with regard to the invention described in the patent or application identified above.

I hereby declare that rights under contract or law have been conveyed to and remain with said nonprofit organization with regard to the invention described in the patent or application identified above.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small entity under 37 C.F.R. §1.9(f) or by any concern which would not qualify as a small business concern under 37 C.F.R. §1.9(d) or a nonprofit organization under 37 C.F.R. §1.9(e).

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 C.F.R. §1.27)

OTHER RIGHTSHOLDERS

NAME:

ADDRESS:

☐ INDIVIDUAL

☐ SMALL BUSINESS CONCERN

☐ NONPROFIT ORGANIZATION

☐ I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 C.F.R. §1.28(b))

☐ I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18, United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

☐ NAME OF PERSON SIGNING:
☐ TITLE OF PERSON SIGNING:
☐ ADDRESS OF PERSON SIGNING:

David J. Glass
Associate Director for Patents, Office of Technology Affairs
Mass. General Hospital, Building 149, Thirteenth St.,
Charlestown, MA 02129

SIGNATURE



DATE

10/12/00

Attorney Docket No. MGH-002, 1 PCT

COMBINED DECLARATION FOR A PATENT APPLICATION
AND POWER OF ATTORNEY

As the below-named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled:

TRANSPORTER PROTEIN SPLICE VARIANTS
AND MODEL FOR IMMUNE DIVERSITY

the specification of which:

(check one) ☐ is attached hereto.
☒ was filed as international application PCT/US99/08205
on 15 April 1999
and was amended _____
(if applicable)

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I do not know and do not believe that the invention was ever patented or described in any printed publication in any country before my invention thereof or more than one year prior to this application.

I do not know and do not believe that the invention was in public use or on sale in the United States of America more than one year prior to this application.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, § 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate filed by me on the same subject having a filing date before that of the application on which priority is claimed:

(Number)

(Country)

(Day/Month/Year filed)

Priority
Claimed
☒ ☐
Yes No

I hereby claim the benefit under Title 35, United States Code, § 119(c) of any United States provisional application(s) listed below:

(Number)

(Day/Month/Year filed)

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States Patent application(s), or under § 365(c) of any PCT international applications designating the United States listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or international application(s) in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

PCT/US99/08205
(Application Serial No.)

15 April 1999
(Filing Date)

pending
(Status: patented/pending/abandoned)

09/061,764
(Application Serial No.)

16 April 1998
(Filing Date)

pending
(Status: patented/pending/abandoned)

I hereby appoint

Leon R. Yankwich
Thomas R. Berka
Kenneth P. Zwicker
David G. O'Brien

Registration No. 30,237
Registration No. 39,606
Registration No. 43,310
Registration No. 46,125

(4)

and the firm of Yankwich & Associates, 130 Bishop Allen Drive, Cambridge, MA 02139 as my attorneys and agent, with full authority to prosecute this application and to transact all business before the U.S. Patent and Trademark Office connected therewith.

Send all official correspondence to:

Leon R. Yankwich, Esq.
Yankwich & Associates
130 Bishop Allen Drive
Cambridge, MA 02139

Direct telephone calls to:

Leon R. Yankwich, Esq.
telephone: (617) 491-4343
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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made in the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18, United States Code, §1001 and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Denise L. Faustman

Residence: Weston, MA

Citizenship: U.S.A.

Postal Address: 74 Pinecroft Rd., Weston, MA 02193

10/12/00

(date)